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EXAMINER

MCCLELLAN, JAMES S

ART UNIT

PAPER NUMBER

3627

DATE MAILED: 11/10/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/747,908

Applicant(s)

MARCIAL ET AL.

Examiner

James S McClellan

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on 12 September 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-73 is/are pending in the application.
- 4a) Of the above claim(s) 1-23 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 24-73 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## DETAILED ACTION

### *Election/Restrictions*

1. Claim 1-23 are withdrawn from further consideration pursuant to 37 CFR 1.142(b), as being drawn to a nonelected a method (Group I), there being no allowable generic or linking claim. Applicant timely traversed the restriction (election) requirement in Paper No. 6.
2. Applicant's election with traverse of system claims (Group II) in Paper No. 6 is acknowledged. The traversal is on the ground(s) that the inventions set out by the claims in Groups I and II are clearly related. Additionally, Applicant argues that a thorough search and examination of either claim group would be relevant to the examination of the other group and would be a serious burden on the Examiner. This is not found persuasive because the system and method are classified in different classes. Claims drawn to a system will require a more thorough search of class 709, while examination of a method will require a more thorough search of class 705.

Additionally, Applicant argues that is further traversed because the claims in Groups I and II both include and account reconciliation system claimed in a similar fashion. While the claims may be worded in a similar fashion, the difference remains in the fact that one is a method claim and one is a system claim. As set forth in the restriction requirement, the system (product) as claimed can be used in a materially different process of using the product. As relied upon the restriction, the system (computer, server, network connection, and user interface) can be used in a materially different process than the one claimed in the method (see the two examples in the restriction requirement).

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Claims 24-73 are examined on the merits. The requirement is still deemed proper and is therefore made FINAL.

### ***Specification***

3. The use of the trademark Excel (a trademark of Microsoft) has been noted in this application on page 1, line 9. It should be capitalized wherever it appears and be accompanied by the generic terminology.

Although the use of trademarks is permissible in patent applications, the proprietary nature of the marks should be respected and every effort made to prevent their use in any manner which might adversely affect their validity as trademarks.

### ***Claim Objections***

4. Claim 35 is objected to because of the following informalities: it appears that claim 35 should depend from claim 33, not claim 34. Appropriate correction is required.

### ***Claim Rejections - 35 USC § 102***

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

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6. Claims 24-34, 37-48, 50-60, 62-73 rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent No. 6,532,450 (Brown et al.).

Regarding **claim 24**, Brown et al. discloses a system for account reconciliation, said system comprising: at least one computer; a server (42, see col. 4, line 63) configured to read, receive and store input account information, calculate an account variance and report an account variance to a user; a network connecting the server to the computer (see col. 5, lines 2-5); and a user interface allowing a requester to input account information and to receive account variance output (see col. 15, lines 1-2); **[claim 25]** said server is further configured to automatically submit the account information to an account tracking application (see paragraph bridging col. 14-15); **[claim 26]** said server (42) is configured to receive information by at least one of the Internet (see col. 5, lines 2-5), an intranet, a wide area network and a local area network; **[claim 27]** said server is configured to receive account balance information (see example in col. 15, lines 22-35); **[claim 30]** said server is configured to calculate an account variance using a pre-defined algorithm (see col. 15, lines 20-22); **[claim 31]** said server is configured to receive and store reconciliation information (see col. 15, lines 20-22).

Regarding **claim 32**, Brown et al. discloses a network-based system (see col. 5, lines 2-5) for managing accounts reconciliation (see paragraph bridging col. 14-15), said system comprising: a client sub-system comprising a browser (inherent in viewing the Web); a data storage device for storing information; a server sub-system configured to be coupled to said client sub-system and said database (via 60), said server sub-system further configured to: access an account reconciliation system after logging onto the system with a user identification and a password (see paragraph bridging col. 14-15); receive an account information from a centralized

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database (via 60); and submit accounting entries to balance the account based on the received account information to the centralized database to reconcile account variances (see step 616; col. 15, lines 11-14); **[claim 33]** said client sub-system is further configured with: a displaying component to display available options to the user (via a monitor); and a sending component to send an inquiry to the server sub-system so that the server sub-system can process and download the requested information to the client sub-system (see col. 156, lines 1-3); **[claim 34]** the sending component functions in response to a click of a mouse button (inherent input device); **[claim 37]** said server subsystem is further configured with: a collection component for collecting information from users into the centralized database (via 60); a tracking component for tracking information on an on-going basis; a displaying component for displaying information; a receiving component for receiving an inquiry from the client sub system (via a monitor); and an accessing component for accessing the centralized database and causing the retrieved information to be displayed on the client sub-system (see col. 15, lines 1-3); **[claim 38]** said server subsystem further configured with a receiving component for receiving an inquiry to provide information from one of a plurality of users (see col. 15, lines 1-3); **[claim 39]** said server subsystem further configured with a processing component for searching and processing received inquiries against the data storage device containing a variety of information collected by the collection component (via server 42); **[claim 40]** said server subsystem further configured with a retrieving component to retrieve information from the data storage device (via 60); **[claim 41]** said server subsystem further configured with an information fulfillment component that downloads the requested information after retrieving from the database to the plurality of users in the order in which the requests were received by the receiving component (see col. 15, lines 1-3);

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[**claim 42**] said server subsystem further configured to print requested information (see col. 15, lines 19-20, "hard copy") ; [**claim 43**] said server subsystem further configured to accept an inquiry from a user (see col. 15, lines 1-3); [**claim 44, 45**] said server subsystem further configured to: display information on the client sub-system; and receive an inquiry from the client sub-system (see col. 15, lines 1-3); [**claim 46**] said server subsystem further configured to: track information on a real time basis; and store information on a real time basis by adding new information to the centralized database on a real time basis to provide up-to date information instantaneously to the user upon a request (information is tracked and stored as soon as it is received); [**claim 47**] said server subsystem further configured to receive information entered on-line (see col. 5, lines 2-5); [**claim 48**] said server subsystem further configured to receive information entered through at least one of a voice activation command and a device connected to the client sub-system (see keyboard in Fig. 2); [**claim 50**] said server subsystem further configured to display an HTML document downloaded by the server sub-system (see col. 5, lines 2-10); [**claim 51**] said server subsystem further configured to display at least one alternative out of various alternatives available to the user (it is inherent that the user will be given at least one alternative); [**claim 52**] said server subsystem further configured to receive an account information further comprises the step of displaying at least one of a BSLA, an affiliate BSLA, an Account Number, a Description of the Account (see col. 8, lines 58-67), a Treasury Balance indicating the treasury balance booked by a parent corporation, a Business Balance indicating the amount booked by a subsidiary of the parent corporation, a Contact Name of the BSLA selected, a Contact Phone Number of the contact name, a Fiscal Month, a start date of the fiscal month, and an end date of the fiscal month; [**claim 53**] said server subsystem further configured to

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receive an account information further comprises the step of receiving a variance amount between a business balance and a treasury balance (see col. 15, lines 20-22); **[claim 54]** said server subsystem further configured to receive an account information further comprises the steps of: display at least one row to enter information; and display at least one column to allow a user to input at least one of a dollar amount Booked by Business (see col. 8, lines 58-67), a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; **[claim 55]** said server subsystem further configured to: enter against an account identifier (see col. 8, lines 58-67) at least one of a dollar amount Booked by Business, a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; and store against the account identifier at least one of a dollar amount Booked by Business, a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; **[claim 56]** said server subsystem further configured to: compute a new account variance between a business balance and a treasury balance; download the new account variance (see col. 15, lines 30-35); and display the new account variance; **[claim 57]** said server subsystem further configured to generate account reconciliation information in a variety of reporting formats (see col. 15, lines 18-20); **[claim 58]** said server subsystem further configured to: download requested information from said server sub-system; and display requested information on said client sub-system in response to the



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inquiry (via monitor); **[claim 59]** said server subsystem further configured to print requested information (see col. 15, lines 18-20); **[claim 60]** said server subsystem further configured to: receive an inquiry from a user (see col. 15, lines 1-3); accept the inquiry from a user; and deliver information to the user in response to the inquiry; **[claim 62]** said server subsystem further configured to display an HTML document downloaded by said server sub-system (see col. 5, lines 2-10); **[claim 63]** said server subsystem further configured to display at least one alternative from various alternatives available to the user (inherent); **[claim 64]** said server subsystem further configured to: access the centralized database (via 60); search the database regarding the specific inquiry; retrieve information from the database; and transmit the retrieved information to the client system for display by the client system; **[claim 65]** said server subsystem further configured to select one of a method for submitting accounting entries out of at least an Enter Cash Account Reconciliation and a Down/UpLoad Cash Account Reconciliation (see paragraph bridging col. 14-15); **[claim 66]** said server subsystem further configured to: enter a user input against an account identifier at least one of a dollar amount Booked by Business (see col. 8, lines 58-67), a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; store the user input against the account identifier at least one of a dollar amount Booked by Business, a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; upload the user input to update the account information; and compute a new account variance between a business balance and a treasury

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balance; **[claim 67]** said server subsystem further configured to: create required files associated with the account; display against an account identifier (see col. 8, lines 58-67), at least one of a BSLA, an affiliate BSLA, an Account Number, a Description of the Account, a Treasury Balance indicating the treasury balance booked by a parent corporation, a Business Balance indicating the amount booked by a subsidiary of the parent corporation, a Contact Name of the BSLA selected, a Contact Phone Number of the contact name, a Fiscal Month, a start date of the fiscal month, and an end date of the fiscal month; display at least one column to allow a user to input at least one of a dollar amount Booked by Business, a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; accept a user input against the account identifier and at least one of a dollar amount Booked by Business, a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; and store the user input against the account identifier and at least one of a dollar amount Booked by Business, a dollar amount Booked by Treasury, a Currency Code, a Conversion Rate, a Description, a date of transaction, an amount identified in Treasury Journal, a Treasury Source relating to the treasury journal, a code for an Office and a Legal Entity; **[claim 68]** said server subsystem further configured to: upload the user input to update the account information; and compute a new account variance between a business balance and a treasury balance (see col. 15, lines 20-22); and **[claim 69]** said server subsystem further configured to connect to the client sub-system via a

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network and wherein the network is one of a wide area network, a local area network, an intranet and the Internet (see col. 5, lines 2-5).

Regarding **claim 70**, Brown et al. disclose a network based account reconciliation system coupled to a centralized database (via 60), said system comprising: a client sub-system including a browser; a data storage device for storing information; a server sub-system (42) configured to be coupled to said client sub-system and said database, said server sub-system further configured to: receive an account information (see col. 8, lines 58-67); analyze accounting entries relating to the account based on the account information; compute the account variance by comparing the received account information against the account information stored in said centralized database (see col. 15, lines 20-22); and report the account variance to a user in response to an inquiry (see col. 15, lines 18-20); **[claim 71]** said server subsystem further configured to submit the account information to an account tracking application (via 14 and 22); **[claim 72]** said server subsystem further configured to receive and store at least one of a user's account balance information and reconciliation information (see paragraph bridging col. 14-15); and **[claim 73]** said server subsystem further configured to receive the account information via at least one of an intranet, the Internet, a local area network, and a wide area network (see column 5, lines 2-5).

Regarding claims 28, 29, 32, and 36, it is inherent that accounting reconciliation systems contain user profile and password requirements.

### ***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

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(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 28, 29 and 32-69 are rejected under 35 U.S.C. 103(a) as being unpatentable over Brown et al. in view of *Accounting, Information Technology, and Business Solutions*, 2<sup>nd</sup> Edition by Hollander et al. (Hollander et al.).

If it is determined that Brown et al. fails to inherently disclose a server utilizing profile information to analyze restricted access.

Hollander et al. discloses accounting information systems and the use of access controls to restrict unauthorized access to the systems (see pages 463-464).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Brown et al. with access control based on profile information as taught by Hollander et al., because maintaining reliable access control is essential to reducing the risk of valuable information being stolen, improperly modified, or improperly deleted.

9. Claims 34 and 35 are rejected under 35 U.S.C. 103(a) as being unpatentable over Brown et al. in view of U.S. Patent No. 6,625,617 (Yarnall et al.).

Regarding **claim 35**, Brown et al. discloses all of the limitations as set forth above, but fails to explicitly disclose voice command input device.

Yarnall et al. teaches the use of accounting system that allows users to input data via voice command (see column 14, lines 26-28).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Brown et al. with a voice command input device as taught by Yarnall et al. ,

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because voice command input devices allow users that are incapable of using physical input devices such as a keyboard or mouse with the ability to input information.

Regarding **claim 34**, if it is held that Brown et al. does not inherently disclose a mouse as an input device, then Yarnall et al. is relied upon to teach the use of a mouse (see column 14).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Brown et al. with a mouse input device as taught by Yarnell et al., because a mouse allows a user to quickly control the location of the pointing device or move the location of the cursor.

10. Claims 49 and 61 are rejected under 35 U.S.C. 103(a) as being unpatentable over Brown et al. in view of U.S. Patent No. 6,249,770 (Erwin et al.).

Brown et al. discloses all of the limitations as set forth above, but fails to explicitly disclose a server subsystem configured to submit a request through pull down menus.

Erwin et al. teaches the use of an financial system that utilizes pull-down menus to input information (see column 9, lines 17-18).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Brown et al. with pull-down menus, because pull-down menus provide a friendly to use graphical user interface for the input of information.

11. Claims 34-35 are rejected under 35 U.S.C. 103(a) as being unpatentable over Brown et al. in view of Hollander et al. as applied to claim 32 above, and further in view of Yarnell et al.

See paragraph 9 above for details of Yarnell et al.

12. Claim 49 and 61 are rejected under 35 U.S.C. 103(a) as being unpatentable over Brown et al. in view of Hollander as applied to claim 32 above, and further in view of Erwin et al.

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See paragraph 10 above for details of Erwin et al.

***Conclusion***

13. The prior art made of record and not relied upon is considered pertinent to Applicant's disclosure.

Accounting Information Systems, Fourth Edition by Wilkinson et al. is cited of interest for disclosing an accounting system that utilizes menus and allows reconciliation.

14. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jim McClellan whose telephone number is (703) 305-0212. The examiner can normally be reached on Monday-Friday from 9:30 to 6:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Robert Olszewski, can be reached at (703) 308-5183.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

Any response to this action should be mailed to:

Commissioner of Patent and Trademarks  
Washington D.C. 20231

or faxed to:

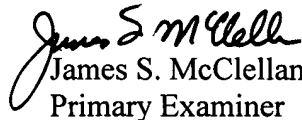
(703) 872-9306 (Official communications) or  
(703) 746-3516 (Informal/Draft communications).

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Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive,  
Arlington, VA, 7<sup>th</sup> floor receptionist.

  
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Primary Examiner  
A.U. 3627

jsm  
November 3, 2003